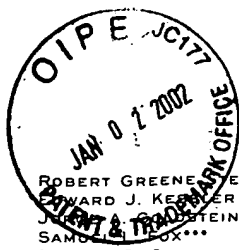


**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W. • WASHINGTON, D.C. 20005-3934

PHONE: (202) 371-2600 • FACSIMILE: (202) 371-2540 • www.skgf.com



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ROBERT GREENE  
EDWARD J. KESSLER  
JANET A. GOLDSTEIN  
SAMUEL FOX\*\*\*  
DAVID K.S. CORNWELL  
ROBERT W. ESMOND  
TRACY-GENE G. DURKIN  
MICHELE A. CIMBALA  
MICHAEL B. RAY  
ROBERT E. SOKOHL  
ERIC K. STEFFE  
MICHAEL O. LEE  
STEVEN R. LUDWIG

JOHN M. COVERT  
LINDA E. ALCORN  
ROBERT C. MILLONIG  
MICHAEL V. MESSINGER  
JUDITH U. KIM  
TIMOTHY J. SHEA, JR.  
PATRICK E. GARRETT  
JEFFREY T. HELVEY\*  
HEIDI L. KRAUS  
JEFFREY R. KURIN  
PATRICK D. O'BRIEN  
LAWRENCE B. BUGAISKY  
CRYSTAL D. SAYLES

EDWARD W. YEE  
ALBERT L. FERRO\*  
DONALD R. BANOWIT  
PETER A. JACKMAN  
MOLLY A. MCCALL  
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JEFFREY S. WEAVER  
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VINCENT L. CAPUANO  
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ELDORA ELLISON FLOYD\*

W. RUSSELL SWINDELL  
THOMAS C. FIALA  
BRIAN J. DEL BUONO\*  
VIRGIL L. BEASTON\*  
RYAN J. STAMPER\*  
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THEODORE A. WOOD  
ELIZABETH J. HAANES  
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JOSEPH S. OSTROFF  
KAREN R. MARKOWICZ\*\*  
SUZANNE E. ZISKA\*\*  
ANDREA J. KAMAGE\*\*

NANCY J. LEITH\*\*  
JOSEPH M. CONRAD, III\*\*  
DOUGLAS M. WILSON\*\*  
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DUSTIN T. JOHNSON\*\*  
MATTHEW J. DOWD\*\*  
AARON L. SCHWARTZ\*\*

\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

January 2, 2002

**WRITER'S DIRECT NUMBER:**

(202) 371-2587

**INTERNET ADDRESS:**

PGARRETT@SKGF.COM

Commissioner for Patents  
Washington, D.C. 20231

Re: U.S. Utility Patent Application  
Appl. No. 09/909,896; Filed: July 23, 2001  
For: **Methods and Systems for Digitally Processing Optical Data Signals**  
Inventors: Agazzi *et al.*  
Our Ref: - 1875.1100001

Sir:

Transmitted herewith for appropriate action are the following documents:

1. Information Disclosure Statement (*in duplicate*);
2. Ten (10) sheets of Form PTO-1449, listing thirty-one (31) reference documents;
3. One (1) copy each of referenced documents AA1-AB1, AR1-AT1, AR2-AT2, AR3-AT3, AR4-AT4, AR5-AT5, AR6-AT6, AR7-AT7, AR8-AT8, AR9-AT9, and AR10-AS10; and
4. One (1) return postcard.

It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are

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Commissioner for Patents

January 2, 2002

Page 2

necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

A handwritten signature in black ink, appearing to read "Patrick E. Garrett", is written over the printed name.

Patrick E. Garrett

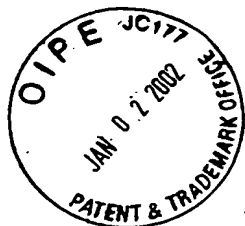
Attorney for Applicants

Registration No. 39,987

PEG:mlb

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re application of:

Agazzi *et al.*

Appl. No. 09/909,896

Filed: July 23, 2001

For: **Methods and Systems for Digitally  
Processing Optical Data Signals**

Confirmation No. 9207

Art Unit: 2662

Examiner: (to be assigned)

Atty. Docket: 1875.1100001

**Information Disclosure Statement**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

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This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- 1. This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to

the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ c. Attached is our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
  - ☐ a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - ☐ b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 4. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 5. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 6. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35

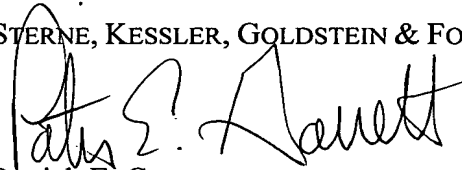
U.S.C. § 120. Thus, copies of these documents are not attached. 37  
C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this pleading is enclosed.0

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Patrick E. Garrett  
Attorney for Applicants  
Registration No. 39,987

Date: 1-2-02

1100 New York Avenue, N.W.  
Suite 600  
Washington, D.C. 20005-3934  
(202) 371-2600

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 1875.1100001	APPLICATION NO. 09/909,896
	APPLICANT Agazzi <i>et al.</i>	
	FILING DATE July 23, 2001	GROUP 2662

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,485,490	01/1996	Leung <i>et al.</i>	375	371	
	AB1	5,757,857	05/1998	Buchwald	375	271	
	AC1						
	AD1						
	AE1						
	AF1						
	AG1						
	AH1						
	AI1						
	AJ1						
	AK1						

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1						Yes No
	AM1						Yes No
	AN1						Yes No
	AO1						Yes No
	AP1						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	1	Personick, S.D., "Receiver Design for Digital Fiber Optic Communications Systems, I," American Telephone and Telegraph Company, The Bell System Technical Journal, Vol. 52, No. 6, July-August 1973, pp. 843-874.	
AS	1	Personick, S.D., "Baseband Linearity and Equalization in Fiber Optic Digital Communication Systems," American Telephone and Telegraph Company, The Bell System Technical Journal, Vol. 52, No. 7, September 1973, pp. 1175-1194.	
AT	1	Kasturia, Sanjay, <i>et al.</i> , "Techniques for High-Speed Implementation of Nonlinear Cancellation," IEEE, IEEE Journal on Selected Areas in Communications, Vol. 9, No. 5, June 1991, pp. 711-717.	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA2						
	AB2						
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	AK2						

FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
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	AM2						Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

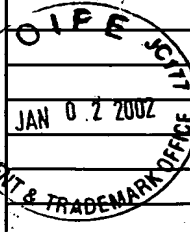
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	2	Fettweis, Gerhard, <i>et al.</i> , "High-Rate Viterbi Processor: A Systolic Array Solution," IEEE, IEEE Journal on Selected Areas in Communications, Vol. 8, No. 8, October 1990, pp. 1520-1533.	
AS	2	Fettweis, Gerhard, <i>et al.</i> , "Parallel Viterbi Algorithm Implementation: Breaking the ACS-Bottleneck," IEEE, IEEE Transactions on Communications, Vol. 37, No. 8, August 1989, pp. 785-789.	
AT	2	Forney, G. David, Jr., "The Viterbi Algorithm," IEEE, Proceedings of the IEEE, Vol. 61, No. 3, March 1973, pp. 268-278.	

EXAMINER	DATE CONSIDERED
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL3						Yes No
	AM3						Yes No
	AN3						Yes No
	AO3						Yes No
	AP3						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>3</u>	Kasper, B.L., "Equalization of Multimode Optical Fiber Systems," American Telephone and Telegraph Company, The Bell System Technical Journal, Vol. 61, No. 7, September 1982, pp. 1367-1388.	
AS	<u>3</u>	Winters, Jack H., "Electrical Signal Processing Techniques in Long-Haul Fiber-Optic Systems," IEEE, IEEE Transactions on Communications, Vol. 38, No. 9, September 1990, pp. 1439-1453.	
AT	<u>3</u>	Winters, Jack H., <i>et al.</i> , "Reducing the Effects of Transmission Impairments in Digital Fiber Optic Systems," IEEE, IEEE Communications Magazine, June 1993, pp. 68-76.	

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL4						Yes No
	AM4						Yes No
	AN4						Yes No
	AO4						Yes No
	AP4						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>4</u>	Agazzi, Oscar, <i>et al.</i> , "Measurement of Non-Stationarity of 10 Gb/s Multimode Fiber Links," presented at IEEE P802.3ae 10Gb/s Ethernet Task Force Equalization Ad Hoc, November 24, 2000, 5 pages.	
AS	<u>4</u>	Agazzi, Oscar, <i>et al.</i> , "Algorithm to Postprocess Measured Data," presented at IEEE 802.3ae Equalization Ad Hoc meeting, January 10, 2001, Irvine, California, pp. 1-11.	
AT	<u>4</u>	Agazzi, Oscar, <i>et al.</i> , "Measurements of DMD-Challenged Fibers at 3.125 Gb/s, presented at IEEE 802.3ae Equalization Ad Hoc meeting, January 10, 2001, Irvine, California, pp. 1-33.	

EXAMINER	DATE CONSIDERED
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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1875.1100001APPLICATION NO.  
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Agazzi *et al.*FILING DATE  
July 23, 2001GROUP  
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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA5						
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL5						Yes No
	AM5						Yes No
	AN5						Yes No
	AO5						Yes No
	AP5						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>5</u>	Lenosky, Tom, <i>et al.</i> , "Measurements of DMD-Challenged Fibers at 1310nm and 1Gb/s Data Rate," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Irvine, California, January 10, 2001, pp. 1-21.
AS	<u>5</u>	Lenosky, Tom, <i>et al.</i> , "Measurements of DMD-Challenged Fibers at 850nm and 2Gb/s Data Rate," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Irvine, California, January 10, 2001, pp. 1-21
AT	<u>5</u>	Agazzi, Oscar, E., "A Link Model for Equalized Optical Receivers," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Hilton Head, South Carolina, March 11, 2001, pp. 1-30.

EXAMINER

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## INFORMATION DISCLOSURE STATEMENT

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL6						Yes No
	AM6						Yes No
	AN6						Yes No
	AO6						Yes No
	AP6						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	6	Isaacs, Matt, <i>et al.</i> , "Measurements of Fiber Responses at 5Gb/s Data Rate Using 850nm VCSELs," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Hilton Head, South Carolina, March 11, 2001, pp. 1-18.
	AS	6	Giaretta, Giorgio, <i>et al.</i> , "Adaptive Equalization of DMD Challenged Multimode Fiber at 1300 nm," presented at IEEE P802.3ae Equalization Ad Hoc meeting, Hilton, South Carolina, March 11, 2001, 10 pages.
	AT	6	Lenosky, Thomas, <i>et al.</i> , "Five Gb/s Multimode DMD at 850 nm:Real-Time Data and Equalizer Simulations," presented at IEEE 802.3ae Equalization on Ad Hoc meeting, Hilton Head, South Carolina, March 11, 2001, 13 pages.

EXAMINER

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July 23, 2001GROUP  
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## U.S. PATENT DOCUMENTS

EXAMINER INITIALS		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
OFFICE JAN 0 2 2002 PATENT & TRADEMARK OFFICE	AA7					Technology Center 2600	RECEIVED JAN 0 7 2002
	AB7						
	AC7						
	AD7						
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	AG7						
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	AJ7						
	AK7						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL7						Yes No
	AM7						Yes No
	AN7						Yes No
	AO7						Yes No
	AP7						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>1</u>	Peral, Eva, <i>et al.</i> , "Measurements of Time Variation in DMD-Challenged Multimode Fiber at 1310nm for 10GE Equalizer Applications," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Hilton Head, South Carolina, March 11, 2001, 19 pages.
AS	<u>1</u>	Vorenkamp, Pieter, <i>et al.</i> , "Analog Interface for 10-Gb/s Ethernet," 13 pages, presented at IEEE 802.3ae 10Gb/s Task Force Plenary week meeting, Albuquerque, NM, March 7, 2000.
AT	<u>1</u>	Parhi, Keshab K., "Parallel Implementation of the DSP Functions of the PAM-5 10Gb/s Transceiver," presented at IEEE 802.3ae 10Gb/s Task Force Plenary week meeting, Albuquerque, NM, March 7, 2000, 12 pages.

EXAMINER

DATE CONSIDERED

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 1875.1100001	APPLICATION NO. 09/909,896
	APPLICANT Agazzi <i>et al.</i>	
	FILING DATE July 23, 2001	GROUP 2662

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL8						Yes No
	AM8						Yes No
	AN8						Yes No
	AO8						Yes No
	AP8						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
AR	<u>8</u>	Personick S.D., "Receiver Design for Digital Fiber Optic Systems," National Telecommunications Conference, November 26-28, 1973, Vol. 1, The Institute of Electrical and Electronics Engineers, Inc., 1973, pp. 8E-1-8E-4.	
AS	<u>8</u>	Bhatt, Vipul, "Equalization Ad Hoc Concluding Report," presented at IEEE P802.3ae Equalization Ad Hoc meeting, Hilton Head, South Carolina, March 11, 2001, pp. 1-12.	
AT	<u>8</u>	Agazzi, Oscar, <i>et al.</i> , "DSP-Based Equalization for Optical Channels: Feasibility of a VLSI Implementation," presented at IEEE 802.3ae 10Gb/s Task Force Interim meeting, New Orleans, Louisiana, September 12, 2000, pp. 1-39.	

EXAMINER	DATE CONSIDERED
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL9						Yes No
	AM9						Yes No
	AN9						Yes No
	AO9						Yes No
	AP9						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Agazzi, Oscar, <i>et al.</i> , "10Gb/s PMD Using PAM-5 Trellis Coded Modulation," presented at IEEE 802.3ae 10Gb/s Task Force Plenary week meeting, Albuquerque, New Mexico, March 7, 2000, pp. 1-38.
	AS	2	Agazzi, Oscar, "10Gb/s PMD Using PAM-5 Modulation," presented at IEEE 802.3, Dallas, January 18-20, 2000, pp. 1-19.
	AT	2	Lenosky, Thomas, "A Unified Method of Calculating PMD-induced Pulse Broadening," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Tampa, Florida, November 5, 2000, 8 pages.

EXAMINER

DATE CONSIDERED

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FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
1875.1100001APPLICATION NO.  
09/909,896APPLICANT  
Agazzi *et al.*FILING DATE  
July 23, 2001GROUP  
2662

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA10						
	AB10						
	AC10						
	AD10						
	AE10						
	AF10						
	AG10						
	AH10						
	AI10						
	AJ10						
	AK10						

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL10						Yes No
	AM10						Yes No
	AN10						Yes No
	AO10						Yes No
	AP10						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>10</u>	Agazzi, Oscar <i>et al.</i> , "Interim Observations on Multimode Optical Channels," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Tampa, Florida, November 5, 2000, pp. 1-29.
	AS	<u>10</u>	"Progress Report on Equalization of Multimode Fibers," presented at IEEE 802.3ae Equalization Ad Hoc meeting, Irvine, California, January 10, 2001, pp. 1-16.
	AT	<u>10</u>	

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